



Departmental Notice #4

September 1, 2002

Form Specifications for Software Developers

This document does not meet the definition of a “statement” required to be published in the Indiana Register under IC 4-22-7-7. The purpose of this document is to provide software publishers and form developers with guidelines for the production of computer generated substitute state tax forms.

It is the policy of the Indiana Department of Revenue to follow all guidelines set forth in Internal Revenue Publication 1167 and in Indiana law 45 IAC 15-3-3. However, the Department would like to emphasize the following points:

1. Software companies wanting to reproduce Indiana tax forms should be registered with the Forms Management Coordinator at the Indiana Department of Revenue. The registration form required must be completed on-line through our web site at www.in.gov/dor and is accessed through the following links:

Specialized Resources
Software Developers
Electronic Forms Area
Registration Form

It is the responsibility of the software company to update information on this same registration form when contact changes occur, whether it is additional contact persons or mailing information. All contact persons will be placed on an e-mail distribution list through which information will be distributed as needed.

2. Tax Year 2002 forms will be made available on the Software Developers’ password protected “Forms Area” on our web site on September 3, 2002. Form updates (corrections) will be made through September 15, 2002. Additional final forms may be added to this area as needed after October 1. The user name and password for this area will be changed annually on September 1. This information will only be made available to those software companies and contact persons that have registered on the web site. **The Department will not disclose the user name and password or forms approval status except to those contact persons registered for each software company.**

3. Tax Year 2002 forms must be submitted for approval between October 1, 2002 and January 31, 2003. If forms are not received during this time period, taxpayers may be informed forms were not approved. During this time period, forms should be approved within 10 business days of receipt. The Department cannot guarantee approval within 10 business days if forms are not received during this time period.

4. All software developers must submit to the Forms Management Coordinator a list of the forms that will be supported in their software package(s). If your company uses forms created by another vendor, you do not have to submit your forms for approval unless you are reproducing forms including an OCR-A extended scanline or 2-D Barcode. However, you still must be registered, indicate your forms vendor, and provide a list of forms supported in your software package, so that approval of the forms vendor

can be verified.

5. To receive approval on computer generated substitute forms, the software developer must submit copies of forms to the Forms Management Coordinator. Although “dummy” data will not be required on all form submissions, it is still preferred. **However, ten copies of forms with “dummy” data are required on coupon-sized forms with OCR-A extended scanlines for testing purposes, which are forms IT-40ES, IT-6, ST-103, and WH-1.** Also, dummy data may be requested by the Forms Management Coordinator if determined necessary for approval purposes after reviewing initial form submissions. Form submissions of PDF files via e-mail may be submitted for approval, provided the PDF files contain accurate and identical data to what will be provided in the software package. Forms must be submitted to:

Via US Mail: Michele Brackemyre
Forms Management Coordinator
Indiana Department of Revenue
Indiana Government Center North
100 N. Senate Avenue - Room N201
Indianapolis, IN 46204

Via E-Mail: forms@dor.state.in.us

6. Software companies participating in the Electronic Filing (ELF) program will not be certified until their forms, or forms vendor, have completed the forms approval process for all Individual Income Tax forms required for Electronic Filing.

7. Software companies participating in the 2-D Barcode program will not be certified until their forms, or forms vendor, have completed the forms approval process for all tax forms they are supporting for the 2-D Barcode program.

8. All forms submitted for approval must contain the software company’s unique 4-digit numeric vendor code as assigned by the National Association of Computerized Tax Processors (NACTP). The vendor code must appear below the lower left-hand margin on all standard 8 1/2”x 11”forms. On coupon-sized forms with scanlines, the vendor code must appear next to the form name and in parentheses, i.e. IT-40ES(9999). The vendor code will be captured during returns processing from the first page of every form. However, the vendor code must appear on every page of every form that a software company develops. Forms will not be approved if the vendor code is not present. **Software companies must contact Mimi Nolan, NACTP President, at (816) 714-2567, to be assigned a vendor code.**

9. Most “controlled” documents may not be reproduced. For Tax Year 2002, the only “controlled” forms and specifications that may be reproduced and approved are as follows: IT-40ES, IT-6, ST-103, and WH-1. Most business tax and coupon-sized forms that have OCR-A extended font scanlines cannot be reproduced and are under a “controlled” status. Some controlled forms may be available upon request from the Forms Management Coordinator for information purposes only. If the Department receives any controlled forms that have been reproduced by software vendors that cannot be processed, they will be returned to the taxpayer for refiling on the correct form and notified they are using unapproved software. **Controlled forms and their specifications will not be placed on the web site for public access, but rather will only be available upon request from the Forms Management Coordinator.**

10. The forms must state the correct dollar amounts. Forms which require cent amounts must have the decimal present in the dollar amount (\$00,000.00). If the dollar amount is rounded off, a decimal point and

zero fill is required.

11. The forms must have the correct format. Forms should have 1/2" margins, all lines, line numbers, boxes, and instructions as contained in Indiana tax returns and the arrangement must be identical. All shaded areas should be duplicated, as well as any white space for keying purposes. The only exception to this is on "scannable-looking" forms, where boxes which contain areas for individual characters do not require individual hand-constraint boxes, as shown below:

 can be: 

12. Forms must be submitted on paper of the same weight, size, and texture.

13. Forms must meet the proper printing requirements to provide all details described above. Forms printed with Laser or DeskJet quality is preferable. Forms printed on dot matrix will not be approved by the Department.

14. Updates and special instructions for each tax year will be provided as "News Flashes" in the Software Developers area of our website. It is the responsibility of the software company to check this section for updates in a timely manner. This information will also be distributed to all registered software companies and contact persons via electronic mail.

15. Software developers are to notify the Forms Management Coordinator as soon as an error in their software package has been identified after the first release of their product. The state must also be notified of the date that the software company sent an updated release of their software to their users to amend the errors. The Department must have this information in order to intercept potential problems these errors could cause during processing, and so that the Department can discern whether the software developer, tax practitioners, or taxpayers involved need to be notified accordingly.

16. Information regarding approved and disapproved software will be made available to taxpayers upon request. If a software company is found to be selling a product which violates any of these specifications, the Department reserves the right to disapprove all other form submissions from that company and make that information public knowledge until the violation(s) have been resolved.

17. Any questions regarding this document and other software developer inquiries should be directed to the Forms Management Coordinator:

Michele Brackemyre
Phone: (317) 232-2198
Fax: (317) 233-1844
Email: forms@dor.state.in.us



Kenneth L. Miller, Commissioner
Indiana Department of Revenue